

80-773/1

CENTRAL INTELLIGENCE AGENCY

WASHINGTON, D.C. 20505

17 NOV 1980

Audiovisual Archives Division (NNV)
National Archives and Records Service
General Services Administration
Washington, D.C. 20408

Gentlemen:

In response to Administrator Freeman's memorandum of 8 October 1980, we presently do not have regulations, directives or standing operating procedures that specifically implement the provisions of 41 CFR 101-11.13. Audiovisual records management is covered by Agency regulatory issuances governing the creation, maintenance, use, and disposition of all records. In the last several months we have established an active program to ensure, where appropriate, that records management procedures developed under these issuances provide for requirements unique to audiovisual records.

In regard to your plans to update 41 CFR 101-11.13, we have no suggestions to offer at this time. The present wording provides sufficient authority for the internal management of our audiovisual records.

Sincerely,

/s/ Thomas H. White

Thomas H. White
Director of Information Services
Directorate of Administration

STAT

DDA/OIS/RMD/RSB, [] (14 November 1980)

Distribution:

Original-Addressee

1-OIS Subject

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1-RSB Subject: Audiovisual Records Management-General

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MEMORANDUM FOR THE HEADS OF FEDERAL AGENCIES

SUBJECT: Management of Audiovisual Records

Federal Agencies reported spending approximately \$100,000,000 in FY 1979 for the production, duplication, and distribution of motion pictures, video and audio tape productions, slide shows and film strips. Costs of creating, duplicating, and distributing still photographs that were not incorporated into audiovisual productions were not reported. Recent inspections of several Federal Agencies by the National Archives and Records Service (NARS), GSA, indicate that certain recurring deficiencies exist in the management of these audiovisual records within agencies, and both the Office of Management and Budget and the General Accounting Office continue to maintain a high level of interest in the creation, maintenance, storage, and preservation of Government-produced motion picture film.

Under the authority of 44 USC 2906, Inspection of Agency Records, agencies are requested to submit to the Audiovisual Archives Division (NNV), NARS, Washington, DC 20408, copies of regulations, directives, and standing operating procedures that implement the provisions of 41 CFR 101-11.13, Audiovisual Records Management, by November 15, 1980. Negative replies are requested. NARS has determined that this requirement does not fall under the provisions of the Interagency Reports Management Program (41 CFR 101-11.11).

NARS plans to update 41 CFR 101-11.13, Audiovisual Records Management. So that the best thinking of the Federal Government might be reflected in this update, comments on the current regulation and suggestions for changes are welcome. Any such comments and suggestions should be submitted to NARS, NNV, by December 1, 1980.

R. G. Freeman III
Administrator

Ch. 29

RECORDS MANAGEMENT

44 § 2906

records deemed appropriate for preservation, and to facilitate the segregation and disposal of records of temporary value, and

(2) promoting the efficient and economical utilization of space, equipment, and supplies needed to create, maintain, store, and service records.

Pub.L. 90-620, Oct. 22, 1968, 82 Stat. 1296.

Historical and Revision Notes

Reviser's Note. Based on 44 U.S.Code, 1964 ed., § 395(a) (June 30, 1949, ch. 288, title V, § 505(a), as added Sept. 5, 1950, ch. 849, § 6(d), 64 Stat. 583).

Legislative History. For legislative history and purpose of Pub.L. 90-620, see 1968 U.S.Code Cong. and Adm.News, p. 4438.

§ 2905. Establishment of standards for selective retention of records; security measures

The Administrator of General Services shall establish standards for the selective retention of records of continuing value, and assist Federal agencies in applying the standards to records in their custody. He shall notify the head of a Federal agency of any actual, impending, or threatened unlawful removal, defacing, alteration, or destruction of records in the custody of the agency that shall come to his attention, and assist the head of the agency in initiating action through the Attorney General for the recovery of records unlawfully removed and for other redress provided by law.

Pub.L. 90-620, Oct. 22, 1968, 82 Stat. 1296.

Historical and Revision Notes

Reviser's Note. Based on 44 U.S.Code, 1964 ed., § 395(b) (June 30, 1949, ch. 288, title V, § 505(b), as added Sept. 5, 1950, ch. 849, § 6(d), 64 Stat. 583).

Legislative History. For legislative history and purpose of Pub.L. 90-620, see 1968 U.S.Code Cong. and Adm.News, p. 4438.

§ 2906. Personal inspection and survey of records

The Administrator of General Services may inspect or survey personally or by deputy the records of any Federal agency, and make surveys of records management and records disposal practices in agencies. Officials and employees of agencies shall give him full cooperation in inspections and surveys. Records, the use of which is restricted by law or for reasons of national security or the public interest, shall be inspected or surveyed in accordance with regulation promulgated by the Administrator, subject to the approval of the head of the custodial agency.

Pub.L. 90-620, Oct. 22, 1968, 82 Stat. 1297.

DOCUMENTS

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76, 90 Stat. 2724.

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History. For legislative
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Code Cong. and Adm. News, p.

Administrator

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PUBLIC PRINTING AND DOCUMENTS 44 § 2909

may deem desirable, on the results of the foregoing activities, in-
cluding evaluations of responses by Federal agencies to any recom-
mendations resulting from studies or inspections conducted by him.
Added Pub.L. 94-575, § 2(a)(2), Oct. 21, 1976, 90 Stat. 2725.

Codification. Provisions similar to this section were contained in a prior section 2902, Pub.L. 90-620, Oct. 22, 1968, 82 Stat. 1298, stricken by section 2(a)(1) of Pub.L. 94-575.

Legislative History. For legislative history and purpose of Pub.L. 94-575, see 1976 U.S. Code Cong. and Adm. News, p. 6150.

Prior Provisions. Provisions similar to those comprising pars. (8)-(10) of

§ 2906. Inspection of agency records

(a)(1) In carrying out his duties and responsibilities under this chapter, the Administrator of General Services or his designee may inspect the records or the records management practices and programs of any Federal agency solely for the purpose of rendering recommendations for the improvement of records management practices and programs. Officers and employees of such agencies shall cooperate fully in such inspections, subject to the provisions of paragraphs (2) and (3) of this subsection.

(2) Records, the use of which is restricted by law or for reasons of national security or the public interest, shall be inspected, in accordance with regulations promulgated by the Administrator, subject to the approval of the head of the agency concerned or of the President.

(3) If the Administrator or his designee inspects a record, as provided in this subsection, which is contained in a system of records which is subject to section 552a of title 5, such record shall be—

(A) maintained by the Administrator or his designee as a record contained in a system of records; or

(B) deemed to be a record contained in a system of records for purposes of subsections (b), (c), and (i) of section 552a of title 5.

(b) In conducting the inspection of agency records provided for in subsection (a) of this section, the Administrator or his designee shall, in addition to complying with the provisions of law cited in subsection (a)(3), comply with all other Federal laws and be subject to the sanctions provided therein.

Added Pub.L. 94-575, § 2(a)(3), Oct. 21, 1976, 90 Stat. 2725.

Codification. Provisions similar to this section were contained in a prior section 2906, Pub.L. 90-620, Oct. 22, 1968, 82 Stat. 1297, stricken by section 2(a)(3) of Pub.L. 94-575.

Legislative History. For legislative history and purpose of Pub.L. 94-575, see 1976 U.S. Code Cong. and Adm. News, p. 6150.

§ 2907. Records centers and centralized microfilming services

The Administrator may establish, maintain, and operate records centers and centralized microfilming services for Federal agencies.

Added Pub.L. 94-575, § 2(a)(3), Oct. 21, 1976, 90 Stat. 2726.

Codification. Provisions similar to this section were contained in a prior section 2907, Pub.L. 90-620, Oct. 22, 1968, 82 Stat. 1297, stricken by section 2(a)(3) of Pub.L. 94-575.

Legislative History. For legislative history and purpose of Pub.L. 94-575, see 1976 U.S. Code Cong. and Adm. News, p. 6150.

§ 2909. Retention of records

The Administrator of General Services may empower a Federal agency, upon the submission of evidence of need, to retain records for a longer period than that specified in disposal schedules; and, in accordance with regulations promulgated by him, may withdraw disposal authorizations covering records listed in disposal schedules.

As amended Pub.L. 91-287, § 4, June 23, 1970, 84 Stat. 322.

1970 Amendment. Pub.L. 91-287 struck out "approved by Congress" following "disposal schedules" in two instances.

Legislative History. For legislative history and purpose of Pub.L. 91-287, see 1970 U.S. Code Cong. and Adm. News, p. 3297.

Chapter 101—Federal Property Mgmt. Regs.**§ 101-11.1303**

(4) A letter of transmittal for the report, signed by the agency head or his designee.

(b) *Preparation of report.* The SF 248, Annual Report on Federal Advisory Committee; SF 248-A, Annual Report on Federal Advisory Committee (continuation sheet); SF 249, Membership List on Federal Advisory Committee; and SF 249-A, Membership List on Federal Advisory Committee (continuation sheet), shall be completed by the organizational element responsible for the support of the individual committee. The SF 250 and the letter of transmittal shall be completed at the department or agency level. Information for completion of SF 250 is compiled directly from data on appropriate SF 248 and SF 249. (These forms are illustrated in §§ 101-11.4930-248 through 101-11.4930-250.)

(c) *Due date.* This report is due on or before January 15 of each calendar year. Submit the report to the Office of Records Management, National Archives and Records Service (mailing address: General Services Administration (NR), Attn: Committee Management Report Coordinator, Washington, D.C. 20408).

[40 FR 48134, Oct. 14, 1975, as amended at 41 FR 48737, Nov. 5, 1976]

§ 101-11.1204 [Reserved]**§ 101-11.1205 Inquiries.**

Inquiries concerning these regulations, forms, or reporting procedures should be directed to the Office of Records Management, National Archives and Records Service (mailing address: General Services Administration (NR), Attn: Committee Management Report Coordinator, Washington, D.C. 20408).

[41 FR 48737, Nov. 5, 1976]

Subpart 101-11.13—Audiovisual Records Management

SOURCE: 41 FR 14516, Apr. 6, 1976, unless otherwise noted.

§ 101-11.1300 Scope.

This subpart sets forth the policies and procedures for managing audiovisual

records in the Federal Government.

§ 101-11.1301 Definitions.

(a) *Audiovisual records.* Audiovisual records include program and information motion pictures, still pictures, sound recordings, video recordings, and related documentation.

(b) *Audiovisual records management.* Audiovisual records management includes the management of audiovisual records and related records that document the creation and or acquisition of audiovisual records and that were created for or used in the retrieval of information about or from audiovisual records.

§ 101-11.1302 Objectives.

The objectives of audiovisual records management are to achieve the effective creation, maintenance, use, and disposition of audiovisual and related records by: identifying audiovisual and related records to be created and maintained; establishing standards for maintenance and disposition of audiovisual and related records; establishing standards for the physical security and preservation of audiovisual records; and reviewing audiovisual record-keeping practices on a continuing basis to improve procedures.

§ 101-11.1303 Agency program responsibilities.

(a) Each Federal agency, in providing for effective controls over the creation of records, shall establish an appropriate program for the management of audiovisual records. This audiovisual records management program shall:

(1) Prescribe the types of records to be created and maintained so that audiovisual operations and their products are properly documented (Guidelines describing the appropriate types of records are found in § 101-11.411-7.);

(2) Issue standards for the maintenance and disposition of audiovisual and related records;

(3) Issue standards for the physical security and preservation of audiovisual records;

§ 101-11.1304

Title 41—Public Contracts, Property Management

Chapter 1

(4) Review agency audiovisual recordkeeping and exploit opportunities for improvement; and

(5) Develop and maintain creation cost data for agency audiovisual records.

(b) Each agency should establish agency standards for its audiovisual operations and issue appropriate instructions. These standards should include:

(1) Identifying the various generations of audiovisual records through classification and labeling;

(2) Filing, controlling, and scheduling audiovisual and related records;

(3) Preserving the physical integrity of audiovisual records through proper use and storage conditions; and

(4) Establishing contract specifications for contractor-produced audiovisual records which protect the Government's legal title and ultimate control over all audiovisual media and related documentation.

§ 101-11.1304 Centralized audiovisual services.

(a) *National Audiovisual Center.* The National Audiovisual Center (NAC) serves as a central information source to the general public and Federal agencies concerning the availability of federally produced or sponsored audiovisual products. NAC also serves as a central distribution point for the sale, rental, and, under limited conditions, free loan of these products to the public and Federal agencies. In addition, NAC compiles and publishes Government-wide catalogs on audiovisual products available for loan, rental, and sale and develops criteria, establishes appropriate terminology, and recommends Government-wide practices for the cataloging and indexing of audiovisual materials.

(b) *Agency reporting requirements.*—

(1) *Mandatory title check.* (i) Prior to authorizing the production of any type of audiovisual product, all agencies, except as noted in OMB Circular A-114, shall contact NAC and request information about the availability of similar products in an attempt to reduce duplication of effort. When requesting mandatory title checks on intended productions, provide the following information:

(A) Intended subject—broad and specific. For example, broad—sociology, rehabilitation; specific—recreational therapy, nursing, and patient care.

(B) Specific or unique elements desired in production (medical technique, intended audience, new regulation, etc.). For example, audience—nursing home administrators.

(C) Intended purpose of production. For example, to show that awareness to social interaction should be available to home patients to fulfill their need to talk to someone.

(ii) Include the name of the agency or department, bureau or office, and division or branch; the name of the agency contact person; complete mailing address; and telephone number. Then forward the request to the National Audiovisual Center (NAC), General Services Administration, Attn: Mandatory Title Check, Washington, D.C. 20409.

(2) *Federal Audiovisual Production Report.* (i) Standard form 202, Federal Audiovisual Production Report, shall be prepared by each agency according to directions on the form within 30 calendar days after production of an audiovisual product is authorized or budget approval is obtained, except as noted in OMB Circular A-114. Upon completion or cancellation of the production, a new standard form 202 shall be completed and forwarded to NAC.

(ii) When it has been determined that existing Federal audiovisual products do not satisfy agency needs, a separate page shall accompany the initial standard form 202, explaining why existing products do not satisfy agency needs. The explanation must include: The subject area of the mandatory title check; the number of titles identified in the check; a narrative explanation; a statement as to whether or not commercial sources of audiovisual products were investigated; and an authorization block containing the signature, date, title, address, and phone number of the agency official responsible for audiovisual clearance and authorization.

(iii) Copies of standard form 202 may be obtained by submitting written requests to NAC (mailing address: National Audiovisual Center (NAC), General Services Administration, Wash-

ington, D.C. 20409. Forms shall be obtained from the National Audiovisual Center, Attn: Mandatory Title Check, Washington, D.C. 20409.

(3) *Annual Report.* Each agency shall submit an annual report on its audiovisual activities for the fiscal year ending in 1977.

(ii) Copies of the report shall be obtained from the National Audiovisual Center, Attn: Mandatory Title Check, Washington, D.C. 20409. Forms shall be obtained from the National Audiovisual Center, Attn: Mandatory Title Check, Washington, D.C. 20409.

(4) *Development.* Each agency shall submit a report on its audiovisual development activities for the fiscal year ending in 1977. The report shall be submitted to the National Audiovisual Center, Attn: Mandatory Title Check, Washington, D.C. 20409.

(ii) *Production.* Each agency shall submit a report on its audiovisual production activities for the fiscal year ending in 1977. The report shall be submitted to the National Audiovisual Center, Attn: Mandatory Title Check, Washington, D.C. 20409.

(c) *Loan.* Each agency shall submit a report on its audiovisual loan activities for the fiscal year ending in 1977. The report shall be submitted to the National Audiovisual Center, Attn: Mandatory Title Check, Washington, D.C. 20409.

(ii) *Management.* Each agency shall submit a report on its audiovisual management activities for the fiscal year ending in 1977. The report shall be submitted to the National Audiovisual Center, Attn: Mandatory Title Check, Washington, D.C. 20409.

Chapter 101—Federal Property Mgmt. Regs.**§ 101-11.4900**

ington, D.C. 20409). All requests for forms should come from the office which has been assigned responsibility for the management of audiovisual activities in each Federal agency. Upon completion, the forms shall be sent to National Audiovisual Center (NAC), General Services Administration, Attn: Cataloging Section, Washington, D.C. 20409.

(3) *Annual Audiovisual Report.* (i) Standard form 203, Annual Audiovisual Report, shall be submitted within 90 calendar days from the end of each fiscal year (FY) starting with fiscal year 1978.

(ii) Copies of standard form 203 may be obtained by submitting written requests to NAC (mailing address: National Audiovisual Center (NAC), General Services Administration, Washington, D.C. 20409). All requests for forms should come from the office which has been assigned responsibility for the management of audiovisual activities in each Federal agency. Upon completion, the forms shall be sent to National Audiovisual Center (NAC), General Services Administration, Attn: Cataloging Section, Washington, D.C. 20409.

(4) *Evaluations.* (i) All evaluations developed in accordance with attachment E of OMB Circular A-114 shall be forwarded to the National Audiovisual Center (NAC), General Services Administration, Attn: Cataloging Section, Washington, D.C. 20409. NAC will attach these evaluations to the Federal Audiovisual Production Report on file for that audiovisual product.

(ii) Products excluded from the mandatory title check and excluded from the Federal Audiovisual Production report requirements of OMB Circular A-114 need not be evaluated.

(c) *Liaison.* Each agency shall forward to NAC (mailing address: National Audiovisual Center (NAC), General Services Administration, Washington, D.C. 20409) the name, mailing address, and telephone number of the office which is assigned responsibility for management oversight of the agency's audiovisual activities. These designated offices shall serve as the liaison between NAC and Federal agencies for all matters relating to audiovisual ac-

tivities, including mandatory title checks, submissions of reports and evaluations, and requests for forms.

[43 FR 33892, Aug. 1, 1978]

Subparts 101-11.14—101-11.48
[Reserved]

Subpart 101-11.49—Forms and Reports

SOURCE: 32 FR 8036, June 3, 1967, unless otherwise noted.

NOTE: Forms in §§ 101-11.4901—101-11.4918 filed as part of the original document. Copies may be obtained from Central Office, GSA.

§ 101-11.4900 Scope of subpart.

This Subpart 101-11.49 contains forms and reports used in connection with the regulations on records management prescribed in this Part 101-11.

§ 101-11.4901 Standard Form 136: Annual Summary of Records Holdings.

[41 FR 3739, Jan. 26, 1976]

§ 101-11.4902 Standard Form 115: Request for Authority to Dispose of Records.

§ 101-11.4903 Standard Form 115a: Request for Authority to Dispose of Records—Continuation Sheet.

§ 101-11.4904 Instructions for Preparing Standard Forms 115 and 115a.

§ 101-11.4905 Standard Form 137: Agency Records Center Annual Report.

§ 101-11.4906 Standard Form 127: Request for Official Personnel Folder (Separated Employee).

§ 101-11.4907 Standard Form 135: Records Transmittal and Receipt.